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Approved for use through 10/31/2002 OMB 0651-0002  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53 (b))

Attorney Docket No.	LEX-0282-USA
First Inventor	Wake, et al.
Title	Novel Human Alpha Macroglobulin Family Proteins and Polynucleotides Encoding the Same
Express Mail Label No.	EV 017075762 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 202311. ☒ Fee Transmittal Form (e.g., PTO/SB/17)2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.3. ☒ Specification (Total Pages 33)  
(preferred arrangement set forth below)

- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention (if filed)
- Detailed Description
- Claim(s)
- Abstract of the disclosure

4. ☐ Drawing(s) (35 U.S.C. 113) (Total Sheets 2)

5. Oath or Declaration (Total Pages 2)

a. ☒ Unexecutedb. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)i. ☐ **DELETION OF INVENTOR(S)**  
signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).6. ☐ Application Data Sheet. See 37 CFR 1.767. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

a. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i. ☒ disketteii. ☒ paper 12 pagesc. ☒ Statements verifying identity of above copies**ACCOMPANYING APPLICATION PARTS**9. ☐ Assignment Papers (cover sheet & document(s))10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney11. ☐ English Translation Document (if applicable)12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations13. ☐ Preliminary Amendment14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)16. ☒ Nonpublication Request under 35 U.S.C. 122 (b)(2)(5) (i). Applicant must attach form PTO/SB/35 or its equivalent17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: .....

Prior application information:

Examiner:

Group Art Unit:

For CONTINUATION or DIVISIONAL APPLS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name	PATENT TRADEMARK OFFICE				
Address					
City	State	Zip			
Country	Telephone	Fax			

Name (Print/Type)	Lance K. Ishimoto	Registration No. (Attorney/Agent)	41,866
Signature	<i>Lance K. Ishimoto by David W. Hester</i> DAVID W. HESTER REG. NO. 41,071	Date	December 14, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

**Complete if Known**

Application Number	Not Yet Assigned
Filing Date	December 14, 2001
First Named Inventor	Waiké et al.
Examiner Name	Not Yet Assigned
Group Art Unit	Not Yet Assigned
Attorney Docket No.	LEX-0282-USA

**METHOD OF PAYMENT**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number: 50-0892

Deposit Account Name: \_\_\_\_\_

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status See 37 CFR 1.27

2. **Payment Enclosed:**

☐ Check ☐ Credit Card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Small Fee Code	Entity	Fee Description	Fee Paid
101	740	201	370 Utility filing fee	370.00
106	330	206	165 Design filing fee	
107	510	207	255 Plant filing fee	
108	740	208	370 Reissue filing fee	
114	160	214	80 Provisional filing fee	

SUBTOTAL (1) (\$370.00)

**2. EXTRA CLAIM FEES**

Paid	Extra Claims	Fee from below	Fee
Total Claims	-20**	X	
Independent	-3**	X	
Multiple Dependent			

Large Fee Code	Small Fee Code	Entity	Fee Description	Fee Paid
103	18	203	9 Claims in excess of 20	
102	84	202	42 Independent claims in excess of 3	
104	280	204	140 Multiple dependent claim, if not paid	
109	84	209	42 **Reissue independent claims over original patent	
110	18	210	9 ** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)**

Large Fee Code	Small Fee Code	Entity	Fee Description	Fee Paid
105	130	205	65 Surcharge - late filing fee or oath	
127	50	227	25 Surcharge - late provisional filing fee or cover sheet	
139	130	139	130 Non-English specification	
147	2,520	147	2,520 For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840* Requesting publication of SIR after	
115	110	215	55 Extension for reply within first month	
116	400	216	200 Extension for reply within second month	
117	920	217	480 Extension for reply within third month	
118	1,440	218	720 Extension for reply within fourth month	
128	1,960	228	980 Extension for reply within fifth month	
119	320	219	160 Notice of Appeal	
120	320	220	160 Filing a brief in support of an appeal	
121	280	221	140 Request for oral hearing	
138	1,510	138	1,510 Petition to institute a public use proceeding	
140	110	240	55 Petition to revive - unavoidable	
141	1,280	241	640 Petition to revive - unintentional	
142	1,280	242	640 Unity issue fee (or reissue)	
143	450	243	230 Design issue fee	
144	620	244	310 Plant issue fee	
122	130	122	130 Petitions to the Commissioner	
123	50	123	50 Processing fee under 37 CFR 1.17(a)	
126	180	126	180 Submission of Information Disclosure Stmt	
581	40	581	40 Recording each patent assignment per property (times number of properties)	
146	740	246	370 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370 For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370 Request for Continued Examination (RCE)	
169	900	169	900 Request for expedited examination of a design application	
Other fee (specify) _____				
*Reduced by Basic Filing Fee Paid				
SUBTOTAL (3) (\$)				

**SUBMITTED BY**

Name (Print/Type)	Lance K. Ishimoto	Registration No. (Attorney/Agent)	41,896	Telephone	281-863-3333
Signature	<i>Lance K. Ishimoto by David W. Hulet</i>	DAVID W. HULET REG. NO. 41,071	Date	December 14, 2001	

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization of PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

<b>NONPUBLICATION REQUEST                  UNDER                  35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor		Walke, et al.
	Title	Novel Human Alpha Macroglobulin Family Proteins and Polynucleotides Encoding the	
	Atty Docket Number		LEX-0282-USA

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

12-14-01

Date

Lance K. Ishimoto by David W. Hsiao  
 Signature DAVID W. HSIAO  
 REG. NO. 44,071

Lance K. Ishimoto Reg No 41.866  
 Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

Applicant: Walke et al.

U.S. Ser. No.: To be assigned

Attorney Docket No.: LEX-0282-USA

Filing Date: December 14, 2001

For: Novel Human Alpha Macroglobulin  
Family Proteins and Polynucleotides  
Encoding the Same

**VERIFIED STATEMENT**

Box Patent Application  
Commission for Patents  
Washington, D.C. 20231

Sir:

I, DRENDA D. THOMAS, do declare and state as follows:

1. I prepared a Sequence Listing in paper and computer readable form under 37 C.F.R. Sec. 1.821-1.825 in connection with the above-captioned patent application, both of which are being submitted herewith.

2. I hereby state that the contents of the paper and computer readable copies of the Sequence Listing are the same.

Signed,

December 14, 2001  
Date

  
Drenda D. Thomas